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\* Admitted in NY only  
\*\* Passed the Patent Bar Examination  
\*\*\* Admitted in TX only

November 21, 2001

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Patent Application Serial No. 09/858,154  
Title: *Spontaneous Pattern-Formation of Functional Materials*  
Filed: May 15, 2001  
Inventors: Alan G. McDiarmid, *et al.*  
Our Reference No.: UPI-007

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Response to Notice To File Missing Parts of Nonprovisional Application (*in duplicate*) (2 pages);
2. Copy of Notice to File Missing Parts of Nonprovisional Application (Formalities Letter) (1 page);
3. *Executed* Declaration, Petition and Power of Attorney for Patent Application (7 pages);
4. Request for Correction of Filing Receipt (*in duplicate*) (2 pages);
5. Copy of Filing Receipt with corrections noted thereon in red ink (1 page);
6. Request for Two-Month Extension (1 page); and
7. Return postcard.

Please charge any necessary fees to our Deposit Account No. 12-0080. A duplicate of this sheet is enclosed. Applicants request any extensions necessary to respond.

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231 on:

November 21, 2001

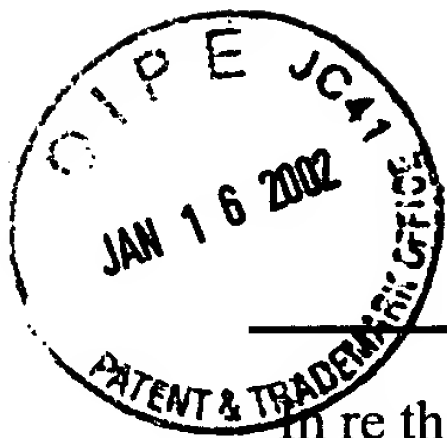
Date

Peter C. Lauro, Esq.

Reg. No. 32,360

Respectfully submitted,  
LAHIVE & COCKFIELD, LLP

Peter C. Lauro, Esq.  
Reg. No. 32,360  
28 State Street  
Boston, MA 02109  
Tel. (617) 227-7400



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Alan G. McDiarmid, *et al.*

Serial No.: 09/858,154

Filed: May 15, 2001

For: *Spontaneous Pattern Formation of Functional Materials*

Attorney Docket No.: UPI-007

Group Art Unit: 2812

Examiner: Not Assigned

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

**Certificate of First Class Mailing**

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November 21, 2001

Date of Signature and of Mail Deposit

By:

Peter C. Lauro, Esq.

Reg. No. 32,360

Attorney for Applicants

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION**

Dear Sir:

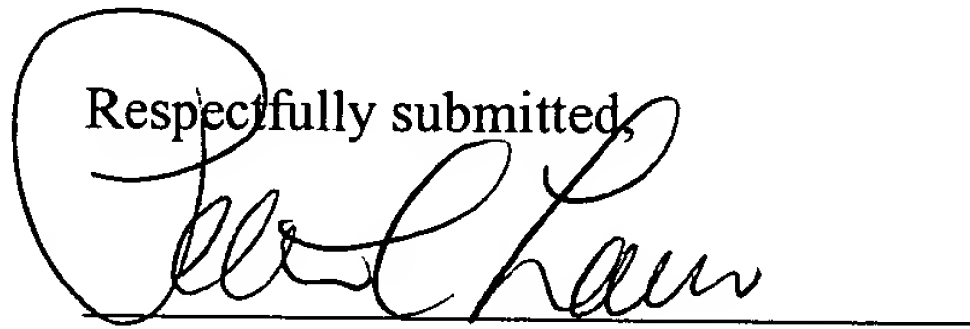
In response to the Notice to File Missing Parts of Nonprovisional Application mailed from the Patent Office on July 23, 2001, the response period of which is extended to November 23, 2001 by the accompanying Request for Two-Month Extension of Time for the above-identified patent application. Please charge Deposit Order Account No. 12-0080 the amount of \$370.00 to cover the filing fee, \$1,700.00 for additional claim fees, and \$65.00 to cover the surcharge for late filing fee.

In addition, Applicants submit, concurrently herewith, an executed Declaration, Petition and Power of Attorney for Patent Application.

Further enclosed is a request for Correction of Filing Receipt with a copy of the Filing Receipt indicating corrections thereon in red ink.

Please charge any underpayments or credit any overpayments associated with this communication to our Deposit Account No. 12-0080. A duplicate of this letter is enclosed.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Peter C. Lauro", written over a horizontal line.

Peter C. Lauro, Esq.  
Registration No. 32,360  
Attorney for Applicants

LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, MA 02109  
Tel. (617) 227-7400

Dated: **November 21, 2001**



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/858,154	05/15/2001	Alan G. MacDiarmid	UPI-007

000959  
LAHIVE & COCKFIELD  
28 STATE STREET  
BOSTON, MA 02109

CONFIRMATION NO. 9148

## FORMALITIES LETTER



\*OC000000006331353\*

Date Mailed: 07/23/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1685.
  - \$1350 for 150 total claims over 20.
  - \$200 for 5 independent claims over 3 .
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2105.

01/23/2002 ANABI1 00000013 120080 09858154

01 FC:201	370.00 CH
02 FC:203	1350.00 CH
03 FC:202	210.00 CH
04 FC:204	140.00 CH
05 FC:205	65.00 CH

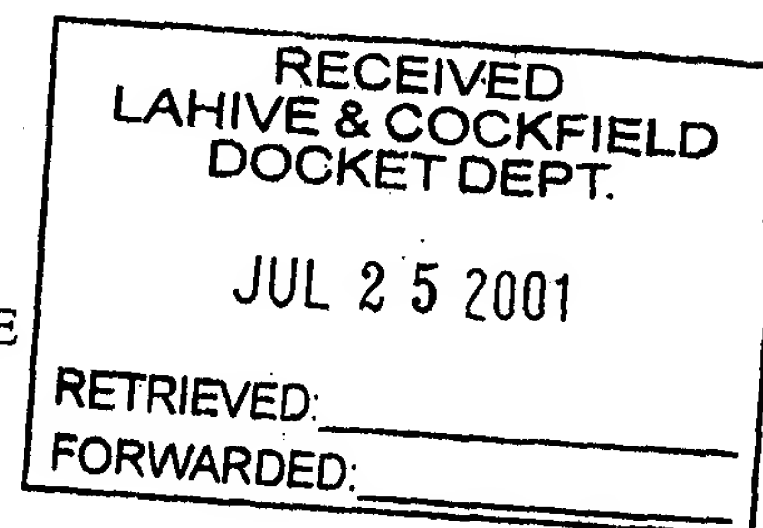
*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

BEST AVAILABLE COPY



Receipt



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Alan G. McDiarmid, *et al.*

Serial No.: 09/858,154

Filed: May 15, 2001

For: *Spontaneous Pattern Formation of Functional Materials*

Attorney Docket No.: UPI-007

Group Art Unit: 2812


Examiner: Not Assigned

Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Certificate of First Class Mailing (37 C.F.R. §1.8(a))

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231 on the date set forth below.

11/21/01  
Date of Signature and of Mail Deposit

By:   
Peter C. Lauro, Esq.  
Reg. No. 32,360  
Attorney for Applicants

REQUEST FOR CORRECTION OF FILING RECEIPT

Dear Sir:

The Filing Receipt for this patent application is missing residence information for the applicants. The Applicant information reads as follows:

Alan G. MacDiarmid, Residence Not Provided;  
Dirk Hohnholz, Residence Not Provided;  
Hidenori Okuzaki, Residence Not Provided;

The corrected Applicant list should read as follows:

**Alan G. MacDiarmid, Drexel Hill, Pennsylvania;**  
**Dirk Hohnholz, Philadelphia, Pennsylvania;**  
**Hidenori Okuzaki, Yamanashi, Japan;**

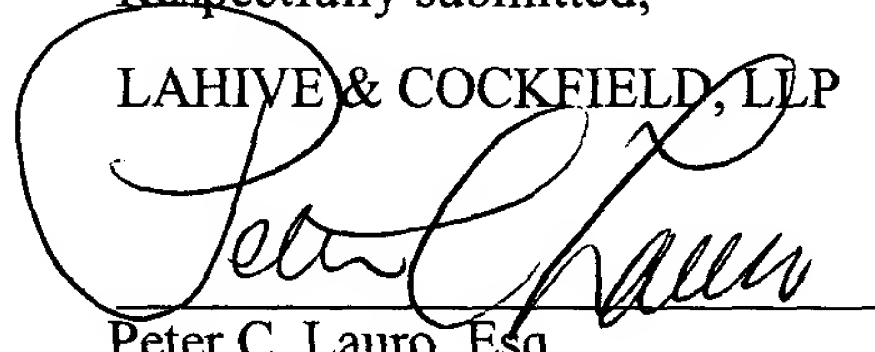
Applicants respectfully request that the Filing Receipt be corrected. Applicants also enclose a copy of the Filing Receipt with the corrections noted thereon in red ink.

Inasmuch as these errors appear to be on the part of the Patent Office, no fees are believed to be due in order to correct the filing receipt. However, please charge any fees necessary for consideration and entry of this communication to our Deposit Account No. 12-0080. *A duplicate of this communication is enclosed.*

Dated: November 21, 2001

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

A handwritten signature in black ink, appearing to read "Peter C. Lauro", is written over a horizontal line. The signature is fluid and cursive.

Peter C. Lauro, Esq.

Registration No. 32,360

Attorney for Applicants



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WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/858,154	05/15/2001	2812	0.00	UPI-007	24	157	8

CONFIRMATION NO. 9148

000959

LAHIVE & COCKFIELD  
28 STATE STREET  
BOSTON, MA 02109

## FILING RECEIPT



\*OC000000006331352\*

Date Mailed: 07/23/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Alan G. MacDiarmid, ~~Residence Not Provided~~; Drexel Hill, Pennsylvania  
Dirk Hohnholz, ~~Residence Not Provided~~; Philadelphia, Pennsylvania  
Hidenori Okuzaki, ~~Residence Not Provided~~; Yamanashi, Japan

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/204,091 05/15/2000  
AND CLAIMS BENEFIT OF 60/207,392 05/26/2000  
AND CLAIMS BENEFIT OF 60/252,502 11/22/2000  
AND CLAIMS BENEFIT OF 60/252,507 11/22/2000

## Foreign Applications

If Required, Foreign Filing License Granted 07/23/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Spontaneous pattern formation of functional materials

